Tri-University
Research Administration Conference

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Issues with Audio
Turn off headset/computer speakers and call in by phone for audio

General Issues
Log off and log back in using SSO

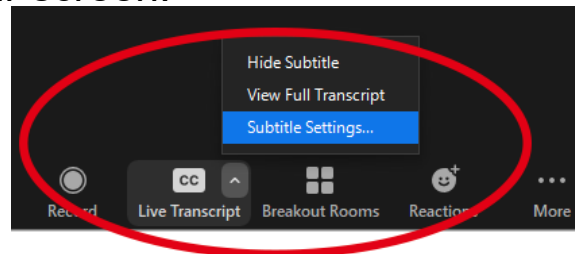**Technical Support**
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About this Session

Recording
Today's session is being recorded and will be made available for later viewing

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We'd Love Your Feedback!

To help us plan next year's Tri-University Research Administration Conference, we would love to get your feedback.

If you want to provide feedback for the presenters of today's session, make sure to complete the survey you will receive via email at the end of the day.

Tri-University Research Administration Conference

Travel Like A Pro

Stacey Childers and Sam Munguia

Introctions

Stacey Childers

ASU Department of Psychology

Research Advancement Administrator

Sam Munguia

ASU Fiscal Oversight

Grant + Contract Officer, Principal

Agenda

- Roles & Responsibilities
- Policy
- Sponsored vs Non-sponsored Travel
- COVID-19 Impact
- Tactical Tips
- Allocation of Costs Across Multiple Cost Objectives
- Case Studies: Identifying and Correcting Common Mistakes

About Today's Session

Allowable and approved foreign, domestic, and in-state travel for work related to a sponsored project is governed by university travel regulations, unless the sponsor's regulations are more restrictive and cannot be waived.

First Things To Know

TRAVEL	SPONSORED PROJECTS

TRAVEL

All university travel:

1. is to be authorized before expenses are incurred or the travel begins

2. expenses are to be supported by a public purpose that indicates the benefit to the university resulting from the travel and expense

3. arrangements are to reflect an understanding of the University Travel Policy (or sponsor policy, whichever is more restrictive)

4. expense reports are due within 30 days of the trip end date

SPONSORED PROJECTS

All expenses charged to a sponsored project should be allowable. An expense is deemed allowable if it is:

1. Reasonable

2. Allocable

3. Consistent

4. Conforms to Limitations

What is my role and responsibility in the travel process?

Travel Roles

- Traveler

- Travel Specialist
- Travel Approver
- Authorized Dept Approver

- Authorizing Travel Official
- Authorized Fund Approver

APPROVED

Travel Roles - Traveler

- Understand and comply with policy
- Get approval
- Book travel
- Obtain any required travel documentation
- Review requirements for High Risk Areas
- Submit expense report
- Cancel all reservations if a trip is canceled

Travel Roles – Travel Specialist / Travel Approver / Authorized Departmental Approver or PI

- Ensure funding source is appropriate
- Verify compliance with institutional & sponsor policy
- Approve travel requests and expense reports before routing to the next level for approval

Travel Roles - Authorizing Travel Official / Authorized Fund Approver

Attest that the trip:

1. is appropriate

2. benefits the university & sponsor

3. uses the most suitable & economical mode of transportation

What percentage of travel policy do I know?

COMMON UNIVERISTY GOVERNANCE

- Arizona Revised Statutes §§ 38–621 to –627

- State of Arizona Travel Policy, Topic 50

- ABOR Policy 3–603

COMMON UNIVERISTY GOVERNANCE HEIRARCHY

- ARS §§ 38–623 Means of travel; rates Travel by air, railroad or motor vehicle is permitted…

- State of AZ Travel Policy, Topic 50, Section 5, #3 In general, the practical travel alternative most beneficial and cost effective for the State should be chosen, with a focus on the total cost of the trip rather than any specific component of that cost.

- ABOR Policy 3–603, B, Means of Transportation Commercial Air Carrier - approval will normally be granted for air coach/economy fares only. If other than coach/economy travel is requested, a written statement of justification must accompany the travel order.

Where do I go for the percentage of travel policy I do not know?

INDIVIDUAL UNIVERSITY RESOURCES

Website
www.in.nau.edu/comptroller/
travel-welcome

Phone
928-523-4357

eMail

ASK-FAS@nau.edu

Website
www.cfo.asu.edu/myasutrip

Phone
480-965-3111

eMail

MYASUTRIP@asu.edu

Website
www.fso.Arizona.edu/travel

Phone
520-621-9097

eMail

fso_travel_pay@fso.arizona.edu

What is the difference between sponsored versus non-sponsored travel?

KNOW SPONSOR TRAVEL POLICY

Allowable and approved foreign, domestic, and in-state travel for work related to a sponsored project is governed by university travel regulations, <u>unless the sponsor's regulations are more restrictive and cannot be waived</u>.

What are some examples of more restrictive sponsor regulations?

Fly America Act

- When federal funds are used for travel, travelers are required by 49 U.S.C. 40118 to use U.S. air carrier service for all air travel and cargo transportation funded by the U.S. government.

- If a foreign air carrier is used based on any of the exceptions to the Fly America Act, certification of the exception, as noted in §301-10.142, must be documented along with travel itinerary, tickets, and boarding passes.
  - ASU has a Certification of Exception to Fly America Act form

Where do I go to find out if the sponsor allows travel?

Proposal Budget

CONSULTANT COSTS					
Daniel Bauer	1,500				1,500
EQUIPMENT *(Itemize)*					
SUPPLIES *(Itemize by category)*					
Mplus renewal	175				
Mplus	895				1,070
TRAVEL					
DC travel	1,600	2020 Psycho	2,300		3,900
PATIENT CARE COSTS	INPATIENT				
	OUTPATIENT				
ALTERATIONS AND RENOVATIONS *(Itemize by category)*					
OTHER EXPENSES *(Itemize by category)*					

Proposal Budget Justification

The PI will travel to Washington, D.C. to in each project year (for up to 2 days) to attend a meeting with other Institute grantees and Institute staff. Estimated costs of a single 2-night, 3-day trip: $1,600. Airfare = $450; lodging = $750 ($250*3); per diem = $236 ($59*4); ground transportation = $40; baggage fees = $50; miscellaneous and Concur Technologies charges = $74. Total Washington, D.C. travel cost = $3,200 ($1,600*2).

Notice of Award

Grant funds may be used to pay for the costs of attending a conference. Specifically, Federal grant funds may be used to pay for conference fees and travel expenses (transportation, per diem, and lodging) of grantee employees, consultants, or experts to attend a conference or meeting if those expenses are reasonable and necessary to achieve the purposes of the grant.

- When planning to use grant funds for attending a meeting or conference, grantees should consider how many people should attend the meeting or conference on their behalf. The number of attendees should be reasonable and necessary to accomplish the goals and objectives of the grant.

How has COVID-19 impacted the travel process at my university?

Northern Arizona University COVID-RELATED TRAVEL GUIDELINES

- Non-essential business domestic and international travel has been suspended indefinitely for all NAU students, faculty, and staff. Any travel that is deemed essential will continue to be reviewed and approved in writing at the Vice President/Provost level.

Arizona State University
COVID-RELATED TRAVEL GUIDELINES

- International travel is allowed on a case-by-case basis under exceptional circumstances only and requires approval from the appropriate dean or vice president and the university provost or executive vice president

- Domestic travel is also allowed on a case-by-case basis and requires approval from the appropriate dean or vice president, as well as the provost or executive vice president

- Do not travel if you show COVID-19 symptoms

Arizona State University
COVID-RELATED TRAVEL GUIDELINES

- Complete and sign an ASU Travel considerations checklist

- Follow local and regional quarantine guidelines & modify activities to maintain physical distancing and wear a face covering

- Get a COVID-19 test 3-5 days after travel and reduce nonessential activities for seven days after travel, even if your test is negative

The University of Arizona COVID-RELATED TRAVEL GUIDELINES

- Effective immediately, all academic and business travel to China is suspended for University of Arizona faculty, staff, and students, and will not be authorized until further notice, due to current outbreak of the 2019 Novel Coronavirus (COVID-19).

- Effective immediately, all academic and business travel to Italy, South Korea, and Iran for University of Arizona graduate and undergraduate students is suspended, and will not be authorized until further notice, due to the current outbreak of the 2019 Novel Coronavirus (COVID-19).

- Travel deemed to be essential by University of Arizona faculty and staff will need to be reviewed by the International Travel Safety Oversight Committee (ITSOC) and approved by the Office of the Provost prior to departure.

Can I charge canceled travel due to COVID-19 to a sponsored project?

CANCELED TRAVEL DUE TO COVID-19

- OMB guidance on administrative flexibilities issued in March 2020, allowed the charging of costs associated with canceled travel due COVID-19 to Federal grants. This flexibility expired on 06/16/2020.

- Costs associated with canceled traveled incurred on or after 06/17/2020 will need to be charged to a non-sponsored account or will require prior sponsor approval.

CANCELED TRAVEL DUE TO COVID-19

Documenting canceled travel:

- Copy of University announcement prohibiting travel

- For canceled conference/meetings, attach notification of change in conference/meeting (cancellation or change to virtual format) to the travel claim

- Retain documentation from airline that cost is non-refundable and that there is a credit for future travel

How can I help the process to go smoothly?

Tactical Tips

- Student worker does initial screening using a department generated checklist
  - Communicates with the traveler regarding basic policy

- Sponsored Travel Lead reviews any items flagged by the student workers, looks for less common/more complex travel issues, and ensures the justification supports the project

- Assigned RA reviews the trip request for award and budget compliance. If okay, approves & routes to the Authorized Travel Official.

Tactical Tips

When multiple funding sources managed by different departments are used for a trip, the trip request is routed in the following order:

1. Research Administration Office

2. Department Business Office

3. Graduate & Professional Student Association Business Office

What must I do if multiple funding sources are paying for the same trip?

Allocating Travel to Multiple Projects
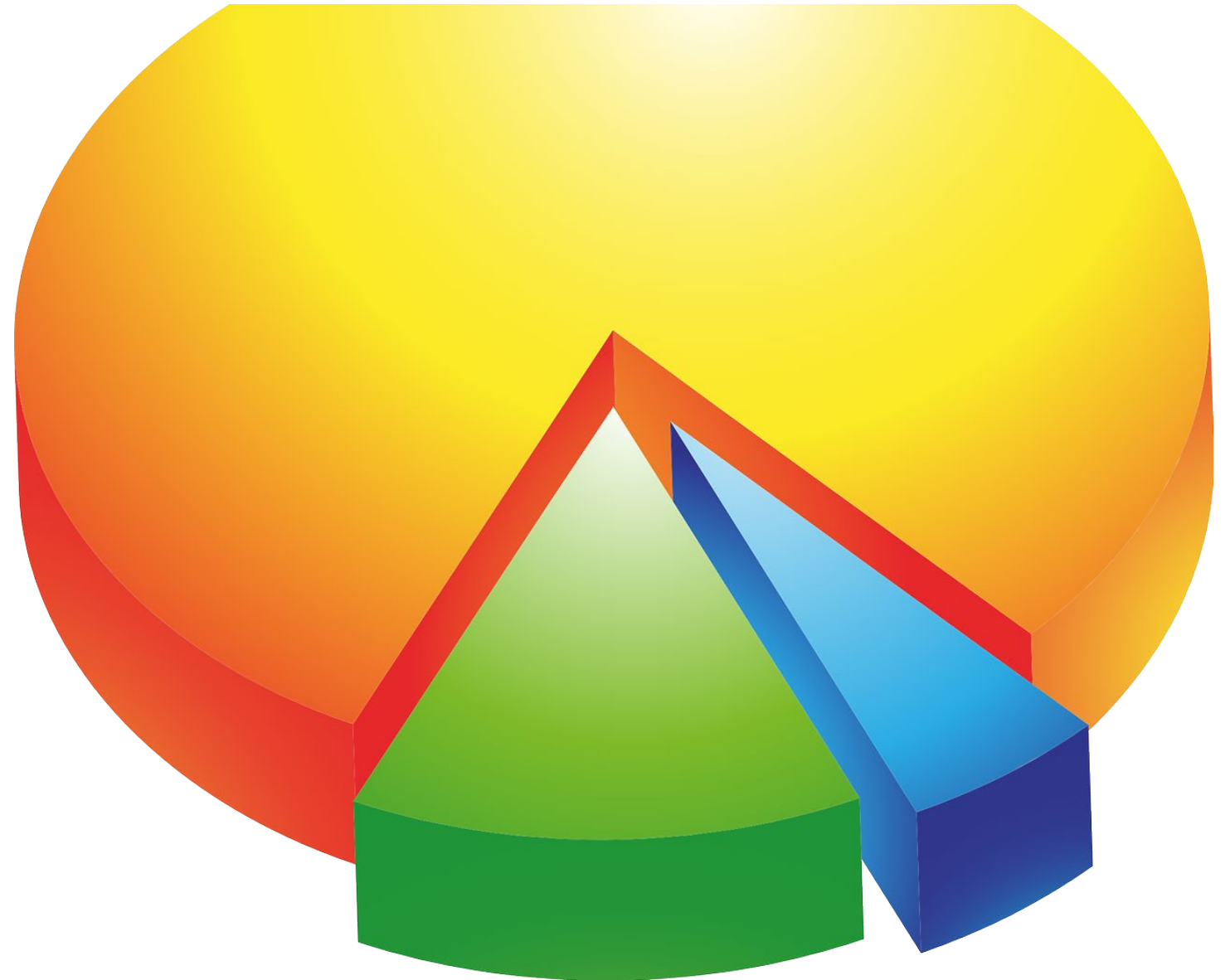
Allocating Travel To Multiple Projects

We must always remember when charging expenses to sponsored projects, that expenses can only be deemed allowable if they are:

1. Reasonable
2. Allocable
3. Consistent
4. Conforms to Limitations

Conference Reminder

If you didn't get a chance to attend, we encourage you to watch the recording of the session **"Allocation Methodologies & Benefit to Project"** Sarah Kern, Assistant Director, Fiscal Oversight, Arizona State University Marcel Villalobos, Assistant Director, Post-award Services, University of Arizona.

Allocability

IMPORTANT:

Ensure that costs are not being shifted between projects in order to meet deficiencies caused by overruns or other fund considerations, to avoid restrictions imposed by law or by terms of the sponsored agreement, or for other reasons of convenience.

Allocability

- An expense is allocable to a particular project if the goods or services involved are incurred solely to advance the work under such project.

- If an expense benefits two or more projects, it is necessary to determine a method of allocation and document the method utilized.

- **There are different methods of allocation (number of hours, effort on project) and departments may choose to use any method as long as the methods is reasonable and well documented.**

Travel Allocation Example 1

- A PI is traveling to a conference in Chicago, IL where she will be presenting multiple seminars to present results on her NSF and NIH projects.

- *How should her travel be allocated?*

Common Mistake: Many will default to 50/50 splits solely based on the number of accounts available to support the expense.

Travel Allocation Example 1

Allocating Costs Based on Number of Days

The total cost of the trip is $3500. The PI spent her travel time as follows:

- Days traveling to/from conference: 3 days
- Days speaking for NSF project: 3 day
- Days speaking for NIH project: 1 day

Travel Allocation Example 1

Allocating Costs Based on Number of Days

% of Days Spent on NSF Project: [3 / (3+1)]   = 75%

% of Days Spent on NIH Project: [1 / (3+1)]   = 25%

NSF Grant Travel Cost: 75% * $3,500   =$2,625

NIH Grant Travel Cost: 25% * $3,500   =$875

Total Cost: **$3,500**

Travel Allocation Example 2

- A PI is traveling to a two-week conference in Washington, DC. He will not be presenting at the conference. He is currently split funded across 3 different sponsored projects: 25% Project A, 25% Project B and 50% Project C.

- *How should her travel be allocated?*

Common Mistake: Many PIs will default to allocating travel to project with largest balance or project ending soon.

Travel Allocation Example 2

- Allocating By PI Effort

Total Travel Cost: $5000

Project A Travel Cost: 25% * $5,000 =$1,250
Project B Travel Cost: 25% * $5,000 =$1,250
Project C Travel Cost: 50% * $5,000 =$2,500

Total Cost: **$5,000**

Would you be able to justify a PIs 2-week trip to an NSF conference if his pay for that pay period is mapped 100% to an NIH award?

Case Study: The Importance of Constructive Airfare

Combining Conference & Personal Travel

CASE STUDY

- A PI took a multi-city trip which included personal travel. His airfare itinerary is as follows:

- Leg 1 – $400. Phoenix, AZ to Boston, MA. He worked on an NSF project for 2 days.

- Leg 2 – $400. Boston, MA to New York, NY. He worked on an NIH project for 2 days.

- Leg 3 – $800. New York, NY to Honolulu, HI. He stayed there for two weeks for personal travel.

- Leg 4 – $800. Honolulu, HI to Phoenix, AZ. Return flight.

CASE STUDY

- Allocation method: $1600 charged to sponsored projects; $800 paid by PI. Using number of days, allocated 50/50 to NSF and NIH project.

- Leg 1 – $400. Phoenix, AZ to Boston, MA. He worked on an NSF project for 2 days.
- Leg 2 – $400. Boston, MA to New York, NY. He worked on an NIH project for 2 days.
- Leg 3 – $800. New York, NY to Honolulu, HI. He stayed there for two weeks for personal travel.
- Leg 4 – $800. Honolulu, HI to Phoenix, AZ. Return flight.

CASE STUDY

- When the airfare was reviewed by the sponsor, it was deemed that the first three flights were allocated appropriately. However, the sponsor questioned the allocation for the return flight home.

- **Why is the allocation of the return flight home problematic?**

CASE STUDY

- The sponsor pointed out that cost allocation did not account for the significant increase to the cost of the return portion of this trip as a result of the PI's personal travel.

- Sponsor requested backup documentation showing the cost of a round trip that excluded the personal travel. The department provided a copy of an online flight search conducted the day the information was requested by the sponsor.

CASE STUDY

What should the department have done?
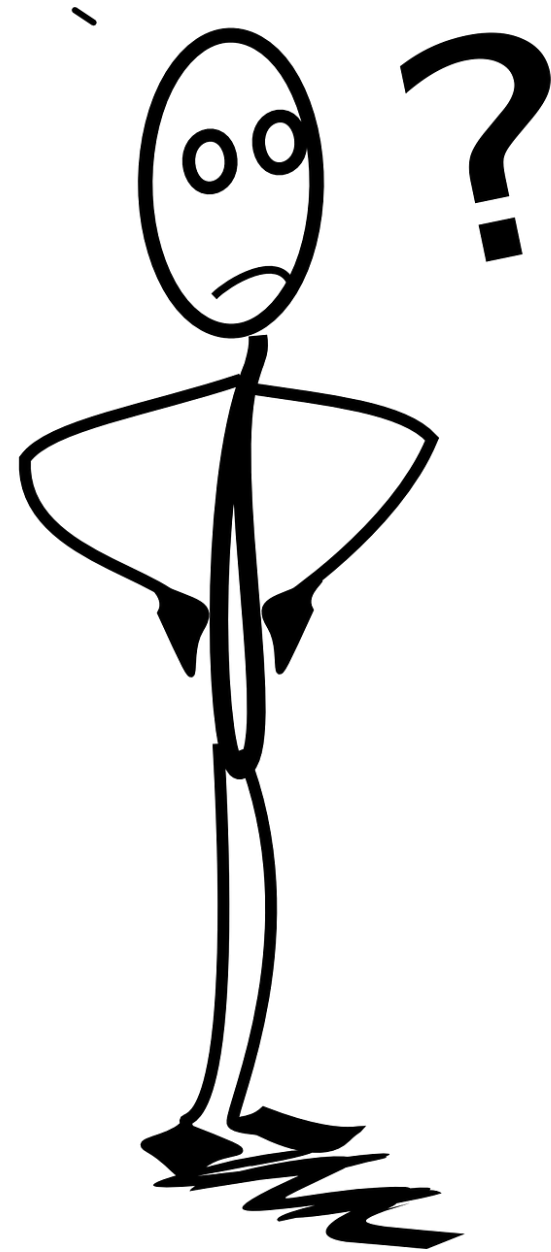
CASE STUDY

The return flight was significantly more expensive due to personal travel because:
- PI returned to Phoenix, AZ via Honolulu, HI rather than New York, NY.
- PI returned to Phoenix, AZ two weeks after NIH travel ended.

Leg	Constructive	Actuals
Phoenix, AZ to Boston, MA	$400	$400
Boston, MA to New York, NY	$400	$400
New York, NY to Honolulu, HI		$800
New York, NY to Phoenix, AZ	$350	
Honolulu, HI to Phoenix AZ		$800
RESEARCH TRAVEL TOTAL	**$1,150**	$1,600

CASE STUDY

Documentation:

- When personal travel is included with business travel, part of your backup documentation should include constructive airfare.

- Online search for constructive airfare should be conducted on the same day airfare is booked.

- Constructive airfare should use start/end dates for business travel only.

Common Travel Mistakes

COMMON TRAVEL MISTAKES

- Claiming 100% per diem on departure/return travel days.
  - State of Arizona policy states that on departure/return days, you can claim 75% of the full day per diem.

- Not justifying add-ons to base airfare (e.g. Early Bird Check-In).
  - Note that the State of Arizona policy requires most economical coach base fair. Any upgrades beyond base fare require justification. This isn't only for business class upgrades.

COMMON TRAVEL MISTAKES

- Not including backup documentation describing allocation methodology.
  - Whenever splitting travel costs on an expense report, you must document the allocation method.

- Using U.S. General Services Administration (GSA) per diem rates on foreign travel.
  - We need to use State of Arizona per diem rates.

COMMON TRAVEL MISTAKES

- Not obtaining travel authorization prior to travel.
  - Departmental trainings and reminders.

- Documenting Fly America Exceptions after-the-fact.
  - Exceptions should be documented at the time airfare is booked.

COMMON TRAVEL MISTAKES

- Charging travel costs to a sponsored project when traveler was unable to go on trip.
  - As the expense no longer benefits the project, it must be moved off the grant and booked travel should be canceled.

Must Knows

TRAVEL

All university travel:

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Questions?

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- Sam Munguia – Samantha.Munguia@asu.edu

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THANK YOU!